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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/823,293	04/13/2004	Sridhar Varadarajan	4544-043892	4553

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EXAMINER

CABUCOS, MARIE G

ART UNIT	PAPER NUMBER
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2163

DATE MAILED: 10/20/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

10/823,293

Applicant(s)

VARADARAJAN ET AL.

Examiner

Marie Antoinette Cabucos

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 13 April 2004.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-14 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-14 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 13 April 2004 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date _____.
- 4) ☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____.
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: _____.

DETAILED ACTION

Claim Rejections - 35 USC § 103

1. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

2. Claims 1-14 are rejected under 35 U.S.C. 103(a) as being unpatentable over Gerald Altman (US Patent no. 6,456,747) in view of Meier et al (US Publication no. 2002/0083079), and further in view of Stalcup et al (US Publication no. 2003/0235345).

Regarding claims 1, 13 and 14, Altman discloses in figures 14 and 18 a system for automatic indexing and archiving of a plurality of paper documents in both hard and soft forms, said system comprising:

(a) a scan management subsystem for managing a plurality of scanners (col. 21, lines 1-35);

(c) a print management subsystem for managing a plurality of printers (86);

(d) a vault management subsystem for managing a plurality of vaults (104);

(e) a folder management subsystem for managing a plurality of folders (figure 18); and

(k) a paper document representation subsystem for managing representation of a paper document in both hard and soft forms (col. 4, lines 12-25).

3. Altman does not disclose an access management subsystem, a log management subsystem, a consistency verification subsystem, a cover page analysis subsystem, a

version management subsystem, and a signature verification subsystem but is disclose in Meier and Stalcup.

4. Meier discloses a system for managing documents comprising:

(b) an access management subsystem for managing and controlling access to said system (paragraph 0091);

(f) a log management subsystem for managing a plurality of accesses to said system (paragraph 0091);

(h) a consistency verification subsystem for managing consistency of archived paper documents; and (i) a cover page analysis subsystem for analyzing cover page of a paper document (paragraphs 0063 to 0072). It would have been obvious by one having ordinary skill in the art, at the time of the invention, to use the system of managing documents disclosed in Meier in the system of Altman so as to have control in who can access certain files (paragraph 0091).

5. Stalcup discloses in figure 4:

(g) a version management subsystem for managing a plurality of versions of a paper document (paragraph 0040); and

(j) a signature verification subsystem for verifying signature in a paper document (paragraph 0008). It would have been obvious by one having ordinary skill in the art, at the time of the invention, to use the process discloses in Stalcup in the system of Altman in view of Meier for the purpose of eliminating duplicate copies (paragraph 0040).

6. Regarding claim 2, Altman discloses in figures 14 and 18 wherein said scan management subsystem comprises means for managing a plurality of scanners comprising determination of a free scanner with a plurality of properties, enabling and disabling of a scanner, verification of user information, and initiating and stopping of scanning of a plurality of sheets of paper of a paper document (col. 21, lines 1-35).
7. Regarding claim 3, Meier discloses a system for managing documents wherein said access management subsystem comprises means for managing and controlling access comprising determination of a plurality of access rights of a user based on role of said user, controlling of access to retrieve a paper document, controlling of access to store a paper document, controlling of access to obtain a copy of a paper document, and controlling of access to get display of a paper document (paragraph 0091).
8. Regarding claim 4, Altman discloses in figures 14 and 18 wherein said print management subsystem comprises means for managing a plurality of printers comprising determination of a free printer with a plurality of properties, enabling and disabling of a printer, verification of user information, ensuring of consistency between hard and soft forms of a paper document, and initiating and stopping of printing from soft form of a paper document.
9. Regarding claim 5, Altman discloses in figures 14 and 18 wherein said vault management subsystem comprises means for managing a plurality of bins of a vault comprising determination of a free bin for storing of an input paper document in said vault, determination of a bin containing a paper document, putting back of a filled tray of a bin into said bin of said vault, putting back of an empty tray of a bin into said bin of

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said vault, controlling of movement of tray of a bin from said bin to near a scanner, controlling of movement of tray of a bin from near a scanner to said bin of said vault, checking of whether a tray contains a paper document or not, controlling of movement of tray of a bin from said bin to near an eject bin, and controlling of movement of tray of a bin from near an eject bin to said bin in said vault.

10. Regarding claim 6, Altman discloses in figures 14 and 18 wherein said folder management subsystem comprises means for managing a plurality of folders comprising creation of a new folder with a unique folder identifier and containing folder details with a scanner configuration information to store a soft form of a new input paper document, creation of a new folder with a unique folder identifier to store a soft form of a new version of a paper document, updation of an existing folder with version information, verification of signature in a folder with signature in corresponding paper document, verification of contents of a folder with contents of corresponding paper document, updation of a folder with corresponding paper document delivery information, and providing of a plurality of folders based on user identifier and folder category.

11. Regarding claim 7, Meier discloses a system for managing documents wherein said log management subsystem comprises means for managing access logs comprising tracking of scanner usage, tracking of vault usage, tracking of printer usage, tracking of a plurality of paper document accesses, tracking of a plurality of folder accesses, and logging of usage information containing timestamp, user identifier, scanner identifier, bin identifier, printer identifier, eject bin identifier, folder identifier, and document identifier (paragraph 0091).

12. Regarding claim 8, Stalcup discloses in figure 4 wherein said version management subsystem comprises means for managing a plurality of versions of a paper document comprising scanning of a cover page with a pre-defined format of said paper document, analyzing of an image of said cover page, identification of "Version" field of said pre-defined format in said image, identification of an image segment following "Version" field of said pre-defined format in said image, recognizing of a plurality of characters in said image segment, determination of a document version number of said paper document based on said plurality of characters, determination of a folder corresponding to said paper document, obtaining of a folder version number of said folder, and creation of a new folder based on said document version and said folder version (paragraph 0040).

13. Regarding claim 9, Meier discloses a system for managing documents wherein said consistency verification subsystem comprises means for managing consistency between a paper document stored in a vault and a folder stored in a database comprising comparison of document details in said paper document and said folder, comparison of creation details in said paper document and said folder, comparison of submission history in said paper document and said folder, pre-processing of a document page image of a page of said paper document, pre-processing of a folder page image of a page of said folder, wherein said folder page image corresponds with said document page image, comparison of said document page image and said folder page image, and comparison of image of each of plurality of pages of said paper

document with image of corresponding page of a plurality of pages of said folder (paragraphs 0063 to 0072).

14. Regarding claim 10, Meier discloses a system for managing documents wherein said cover page analysis subsystem comprises means for analyzing a cover page in a pre-defined format of a paper document comprising obtaining of a plurality of field names in said pre-defined format, obtaining of a plurality of image segments, wherein each of said plurality of image segments follows a field name of said plurality of field names in said paper document, recognition of a plurality of characters in each of said plurality of image segments, and extraction of signature image based on signature field in said pre-defined format in said paper document (paragraphs 0063 to 0072).

15. Regarding claim 11, Stalcup discloses in figure 4 wherein said signature verification subsystem comprises means for verifying a signature in a paper document comprising obtaining of said signature in said paper document, obtaining of a folder signature in a folder, wherein said folder corresponds with said paper document, pre-processing of said signature, pre-processing said folder signature, extraction of a plurality of features from preprocessed said signature, extraction of a plurality of features from reprocessed said folder signature, comparison of normalized, preprocessed said signature with normalized, preprocessed said folder signature, and comparison of said plurality of features of said signature with said plurality of features of said folder signature (paragraph 0008).

16. Regarding claim 12, Altman discloses in figures 14 and 18 wherein said document representation subsystem comprises means for representing an input paper

document in a hard form and a soft form, wherein said input paper document comprises a cover page, and a plurality of sheets of paper, said hard form is represented by said input paper document, a cover page of said soft form is represented by a set of fields in a database, and as an image of said cover page of said input paper document, a soft form of each of said plurality of sheets of paper of said input paper document is represented by an image of corresponding sheet of paper of said input paper document (col. 4, lines 12-25).

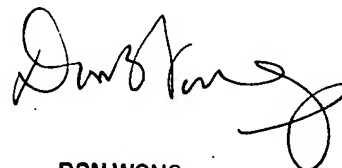
Inquiry

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Marie Antoinette Cabucos whose telephone number is 571-272-8582. The examiner can normally be reached on 8:30-5:00.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Don K. Wong can be reached on (571) 272-1834. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Marie Antoinette Cabucos
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